Please return this slip to a messenger PROMPTLY. SENATE HEARING SLIP Street Address or Route Number only; Neither for nor against: (Please Print Plainly) Senate Sergeant-At-Arms State Capitol - B35 South Madison, WI 53707-7882 Speaking for information but not speaking: but not speaking: Registering in Favor: BILL NO. 38 425 Registering Against: Speaking in Favor: (City and Zip Code) Speaking Against: P.O.Box 7882 (Representing) NAVE SUBJECT (NAME) DATE: Please return this slip to a messenger PROMPTLY. SENATE HEARING SLIP (Street Address or Route Number) (Please Print Plainly) only; Neither for nor against: Senate Sergeant-At-Arms State Capitol - B35 South Madison, WI 53707-7882 but not speaking: but not speaking: Speaking for information BILL NO. 5 6 4/2 Registering in Favor: 31100 Registering Against: (City and Zip Code) Speaking in Favor: Speaking Against: P.O.Box 7882 (Representing) 10 111 0 Dot SUBJECT NAME DATE:

SENATE HEARING SLIP

(Please Print Plainly)

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ILL NO.	SUBIECT
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(NAME)

(Street Address or Route Number)

(City and Zip Code)

(City and Zip Code)

(Representing)
Speaking in Favor:

Speaking Against:

Registering in Favor: but <u>not</u> speaking:

Registering Against:

but not speaking:

Speaking for information only; Neither for nor against:

Please return this slip to a messenger PROMPTLY
Senate Sergeant-At-Arms
State Capitol - B35 South
P.O.Box 7882
Madison, WI 53707-7882

Vote Record

Senate Committee on Judiciary and Consumer Affairs

Date: 3/7/2000 Moved by: 500 AB: 5B: 5B:	425	Seconded by: Clearinghouse Rule: Appointment:	Risses
AJR:SJR:A:SR:		Other:	
A/S Amdt: A/S Amdt: A/S Sub Amdt: A/S Amdt: A/S Amdt:	to A/S Amdt: to A/S Sub Amc to A/S Amdt:	 t:	to A/S Sub Amdt:
Be recommended for: Passage Introduction Adoption Rejection		Indefinite Postpo	
Committee Member Sen. Gary George, Chair Sen. Fred Risser Sen. Alice Clausing Sen. Joanne Huelsman Sen. Alberta Darling	Totals:	Aye No	Absent Not Voting

Date:

March 10, 2000

To:

Senate Committee on Judiciary and Consumer Affairs

From:

WAVE

A non-profit organization committed to reducing gun violence in Wisconsin while respecting the lawful and responsible use of firearms for

hunting and recreation.

Re:

SB 425: A bill relating to authorizing the department of justice to

prosecute violations of certain laws regulating firearms.

Position

WAVE supports the enactment of SB 245 as a means to more effectively prosecute violations of certain laws regulating firearms.

Problem

Under current law DOJ is granted the authority to approve or deny an application for the purchase of a handgun. If DOJ denies approval of the application, the denial information is sent to local law enforcement via a tele-type system. Local law enforcement is then granted the discretion to investigate the case. In many cases local law enforcement is lacking the sufficient resources to make investigation of these cases a priority, and thus the offending individual is left undeterred from committing like offenses. Furthermore, local law enforcement is not always cognizant of the full range of offenses or alleged offenses of a particular individual outside of its jurisdiction and thus has a limited perspective from which to investigate the case.

Solution

SB 425 would address these limitations in the existing law by allowing DOJ to have discretion over investigation and prosecution of violations of laws regulating firearms. Oversight and coordination by DOJ in these cases represents sound financial, legal, and political decision-making. Financially, resources would be more efficiently applied to cases of gun related offenses. Legally, cases involving gun offenses would be less likely to slip through the cracks. Politically, gun violence prevention groups, progun groups such as the NRA, and the overwhelming majority of citizens in Wisconsin believe that reducing gun violence requires stricter enforcement of existing laws. SB 425 would provide a mechanism for this necessary type of enforcement.

Contact information

John P. Engel, Project Director Jeri Bonavia, Board President 414/964-6228

JAMES E. DOYLE ATTORNEY GENERAL

Burneatta L. Bridge Deputy Attorney General 123 West Washington Avenue P.O. Box 7857 Madison, WI 53707-7857

Roy R. Korte Assistant Attorney General korterr@doj.state.wi.us 608/267-1339 FAX 608/267-2778 TTY 608/267-8902

March 7, 2000

Senate Judiciary Committee Members Wisconsin State Senate

Re: 2000 Assembly Bill 664 and 2000 Senate Bill 425

Dear Committee Members:

This letter constitutes the written comments of the Wisconsin Department of Justice (DOJ) regarding 2000Assembly Bill 664 and 2000 Senate Bill 425.

I. 2000 A.B. 664.

A. Mandatory Hotline form questions.

2000 A.B. 664 would mandate the precise form of the questions which may be asked on the handgun hotline form. This proposal is unnecessary and would not make it easier to prosecute straw purchase cases.

In December of 1999, <u>prior</u> to the introduction of 2000 A.B. 664, DOJ changed the wording of the handgun purchase form. The purpose of the changes was to make the form more consistent with the federal firearms purchase form. The federal form must also be executed at the same time as the state form. A copy of the new state form is attached as Appendix A. A copy of the federal form is attached as Appendix B. No other state statutorily mandates the questions to be asked on firearm purchase background check forms.

A comparison of the questions on the current DOJ form with the questions proposed under 2000 A.B. 664 discloses that they are identical or virtually identical. Therefore, that provision of 2000 A.B. 664 is unnecessary. The Legislature originally entrusted the power to create the questions to DOJ. DOJ has responded to comments regarding the form since that time. To fix, by statute, the questions which may be asked on the handgun purchase form is simply unnecessary.

Senate Judiciary Committee Members March 7, 2000 Page 2

Mandating the form of the questions which can be asked also imposes an unnecessary degree of inflexibility and rigidity. First, the questions used on the current form, while substantially similar to those proposed under 2000 A.B. 664, do contain wording differences. These differences are in some ways superior to those in 2000 A.B. 664. For example, the question on the current DOJ form regarding prior felony convictions provides a clearer and more precise definition of felony than 2000 A.B. 664. However, 2000 A.B. 664 would make it extremely difficult to make even minor wording changes to the questions. Second, under 2000 A.B. 664 any changes to the questions, whether based on style or a change in the law, would require legislative action to amend the questions. This is neither reasonable or an efficient use of legislative resources.

DOJ opposes the portion of 2000 A.B. 664 which would statutorily mandate the form of the questions on the handgun purchase form.

B. Actual purchaser question.

The current form (Appendix A), asks the following question: "Are you the actual purchaser of the firearm? You are the actual purchaser if you are not purchasing the firearm at the request of, or on behalf of, any other person or are not purchasing the firearm with the purpose or intent of reselling the firearm to any other person."

The proposed bill would specifically prohibit this question or any question which is substantially similar. This proposal is unwarranted and will actually make it harder to prosecute straw purchasers.

2000 A.B. 664 would require the following question instead of the actual purchaser question: "Are you purchasing this firearm with the purpose or intent of transferring it to a person who is presently prohibited from possessing a firearm under state or federal law?"

First, the proposed language would greatly limit its applicability and conflict with the very purpose of the background check. The purpose of Wis. Stat. § 175.35 is to determine whether a person who is actually going to be possessing a firearm is prohibited from possessing a firearm. In order to accomplish that simple purpose we need to know who is the actual purchaser/possessor. That is why we ask the question and explain that you are not an actual purchaser if you are buying at the request of or on behalf of any other person or are buying with the purpose or intent to resell. This is intended to prevent people from acting as a straw purchaser even though they do not know if the person they are buying for is prohibited from possessing a firearm. It is also intended to prevent people from buying guns and then reselling them to others who may be prohibited from possessing. In either case we want to ensure that the person who is actually going to possess the gun has a record check done on them.

Senate Judiciary Committee Members March 7, 2000 Page 3

Second, the federal gun purchase form, which must also be filled out, also asks whether a person is the actual buyer. Thus the state and federal forms are consistent which results in less confusion by dealers and purchasers. The form does not prohibit the purchase of a firearm for a gift or under similar circumstances. The federal form (Appendix B at 3), which is executed at the same time as the state form, provides some clarification of that issue.

Third, the proposed question under 2000 A.B. 664 would allow persons to buy a gun for another person without criminal liability if they do not know the other person is prohibited from possessing a firearm. In other words, it would allow people to defeat the background check and act as straw purchasers.

Fourth, under 2000 A.B. 664 a person could falsely state they are the actual purchaser, as they are buying at the request of another person, and be subject to federal prosecution but might not be prosecuted under state law because they did not know the actual purchaser was a prohibited person. Certainly an absurd result.

Lastly, the language set forth in 2000 A.B. 664 would almost certainly be interpreted by a court as requiring an element that the straw purchaser know that the person the firearm was being transferred to was a convicted felon or other prohibited person. Under the current DOJ form the state need only prove that the person was not the actual purchaser. While this is not always easy to prove it is certainly much easier to prove than the knowledge of the straw purchaser. As is reflected in public news accounts, prosecuting straw purchase cases is very difficult (Appendix C). 2000 A.B. 664 makes it even more difficult. Again, the proposal makes it harder, not easier, to prosecute straw purchasers.

DOJ opposes this portion of 2000 A.B. 664.

C. Penalty changes.

2000 A.B. 664, as originally drafted, proposed to increase the penalty for false statements on the Hotline form to a (5) five-year felony. Federal law also makes a false statement on the federal firearms purchase form a felony. However, under an amendment to the bill, the increased penalty would only apply to a false statement regarding whether the purchaser intends to transfer the firearm to a prohibited person. As noted above, DOJ opposes that proposed question.

DOJ believes that the original proposal, making it a felony to provide any false information on the handgun purchase form, to be the better alternative. Certainly any false information on the form should be treated similarly.

Senate Judiciary Committee Members March 7, 2000 Page 4

D. DOJ prosecution.

Under Amendment 3 to 2000 A.B. 664, DOJ would be given authority to prosecute false statements regarding whether the purchaser intends to transfer the firearm to a person prohibited from possessing a firearm. Again, for the reasons noted above, DOJ opposes the use of that question.

The amended version of 2000 A.B. 664 is meaningless and of extremely limited use. It provides unduly restrictive prosecutorial authority to DOJ and no real assistance to district attorneys in combating firearms offenses.

II. 2000 S.B. 425.

2000 S.B. 425 would give DOJ prosecutorial power, concurrent with district attorneys, over violations of §§ 175.35 and 941.29. This bill is a common sense proposal which would allow the department to directly prosecute all false statements and all gun dealer violations under § 175.35, as well as violations of § 941.29. This bill is needed for several reasons. First, the department operates and supervises the Handgun Hotline but currently lacks any authority to prosecute violations by purchasers and gun dealers. Second, the enumerated offenses are a matter of statewide concern which will benefit from a statewide perspective. Third, district attorneys would benefit from increased assistance in the prosecution of firearms offenses.

For these reasons, the Department of Justice supports 2000 S.B. 425.

Roy R. Korte

Assistant Attorney General

RRK:dt

Wisconsin Department of Justice Sec. 175.35, Wis. Stats. DJ-LE-FH2, Rev. 12/99

FIREARMS DEALER NOTIFICATION (HANDGUN TRANSFERS)

Handgun Hotl	ine 1-800-2	62-4867				Dealer Identifi	cation N	umber (DIN)			
PLEASE USE INK	- General Infor	mation and	and the same of the same	tions on reverse side.			arin Sanii				
SECTION 1						EREE (Bu					
1. Transferee (Buye	er's) Legal Nam	e (Last, Firs	t, MI)		2	. Other Name	(s) used	now or at any tim	e in the p	oast (e.g., maio	den/alias)
3. Sex 4.	Race 5	. Date of Bi	rth (Mo	onth/Day/Year)	6	. Height		7. Weight	8.	Hair	9. Eyes
10. Residence Addr	ess				1	l. City			12	2. State	13. Zip
14. Transferee (I	Buyer) Certifi	ication - B	uyer i	must answer each	question v	vith a "YES	" or a	"NO" in the bo	ox at th	e right of th	e guestion.
a) Are you the actu	nal purchaser o	f the firear	n?. Yo	ou are the actual pure earm with the purpo	chaser if yo	u are not pur	chasing	the firearm at th	ne reques		
b) Have you ever l any crime for w	been convicted	of a felony have been	y in thi impris	s state or a crime els	sewhere that	at would be a en if you wer	felony e not in	if committed in prisoned or serv	Wiscons ed less t	sin? (A felor han one year)	y is
c) Have you ever b	een found not	guilty of a	felony	in Wisconsin by reas	son of ment	al disease or	defect?				
d) Have you ever b mental disease, o			r not r	esponsible for a crin	ne elsewher	re that would	be a fe	lony in this state	e by reas	on of insanit	y or
e) Are you subject	to a court order	r under the	Wisco	nsin Mental Health A	Act (Ch. 51) prohibiting	you fro	m possessing a h	andgun?		
f) Have you ever l inWisconsin wo	been adjudicate	ed delinque and have n	ent as ot beer	a juvenile for an ac n exempted from the	t committe	d on or afte ohibition by	r April order_of	21, 1994, that i a court pursuant	f commi	tted by an ac 1.29(8)?.	dult
g) Are you subject	to a court order	under the	harassı	nent injunction law	(sec. 813.12	25) prohibitir	ıg you f	rom possessing a	a firearm	?	
h) Are you subject [Note: This ques	to a domestic tion applies to	abuse injur proceeding	ction o	or domestic abuse tr ch were commenced	ibal injunct on or after	tion (sec. 813 April 1, 199	3.12) or 6.]	a child abuse in	junction	(sec. 813.12	2)?
If question 14(a) car may not transfer fir pardon for the crime case, the buyer must	earms to perso or felon, whic	ns convicte h does not	d of fe. express	lonies, or crimes else ly deny the right to p	ewhere that	would be a	felony i	f committed in 14	Visconsin	, unless the l	buyer has received a
FELONS AND set forth in the	enalties of up to PROHIBITED Wisconsin stat	a \$10,000 PERSONS tutes, and	fine an 3. It is under :	of the WI Statutes the dup to 9 months implified in anyone to any circumstances there s. 941.29. Crimin	orisonment u provide or o provide o	inder s. 175.3 assist in pro or assist in p	5(3) of t viding a rovidin	he WI Statutes. ny firearm to a 1 g any firearm to	WARNI minor, ex o a convi	NG: TRANS scept under c icted felon or	FER'TO MINORS, ertain conditions as any other person
Buyer's Signature &										Date	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
SECTION 2				FIREAR	VIS DEAL	LER (Selle	r)				
16. Type of Photo Ide	ntification (Req	uired)				17. Fiream	ns Deale	er Business Name	and Add	lress	2
Driver's License #	!										
Wisconsin Identif	fication Card #										
Other (Please Spe	cify)				*						÷
18. Dealer Clerk's Sig	gnature			<u>, , , , , , , , , , , , , , , , , , , </u>	-					Date	÷
	PLEASE CAI	L'THE HA	NDGI	JN HOTLINE (1-800	0-262-4867	AND RECO	RD TH	E FOLLOWING	3 INFOR	MATION-	
19. Name of Caller					20. Date		文文3 0年度2000円。	ne of Call		Eron March Charletter	perator Number
			٠					AM	PM		
23. Call Confirmation	Number			24. Transfer Approv	val Number		L	25. Nonappr	roval Nur	nber	
DO NOT TRANS	SFER FIREAR	M UNTIL	A TRA	NSFER APPROVA	L NUMBE	R IS RECEI	VED AN	ND RECORD TI	TE FOI	OWING IN	TORMATION -
26. Date of Transfer	27. Time of	SELECTION OF THE RES	No. Alle	28. Transferred by			est seef - 3%		- 6.3 Eac. (1.4.)	A TO SECTION AND	
	1	M	PM	49 8 1	· · · · · · · · · · · · · · · · · · ·	- ' .					•

GENERAL INFORMATION

- Dealer and buyers must conform to federal requirements in addition to completion of this form.
- 2) Completion of this form is required in accordance with s. 175.35(2g) of the Wisconsin Statutes and with Chapter Jus. 10, Wisconsin Administrative Code. If the buyer cannot read or write, the form must be completed by a person other than the dealer after a careful consultation with the buyer. After the form is completed, the dealer shall question the buyer to ensure that the form is truthfully and fully completed. The buyer's mark shall be obtained in the "Buyer's Signature" block and be witnessed by the individual that helped to complete the form.
- 3) The Wisconsin Department of Justice (DOJ) must accomplish a mandatory firearms restrictions record search to ensure that a person may lawfully possess a handgun under s. 941.29 of the Wisconsin Statutes.

Section 941.29 prohibits possession of a firearm if a person has been:

- Convicted of a felony in Wisconsin
- Convicted of a crime elsewhere that would be a felony if committed in Wisconsin
- Found not guilty of a felony in Wisconsin by reason of mental disease or defect
- Found not guilty of or not responsible for a crime elsewhere that would be a felony in Wisconsin by reason of insanity or mental disease, defect or illness
- Adjudicated delinquent for an act committed on or after April 21, 1994, that if committed by an adult in Wisconsin would be a felony
- Committed for treatment under s. 51.20(13)(a) and ordered not to possess a firearm under s. 51.20(13)(cv)
- Subject to a court order under the harassment injunction law (sec. 813.125) prohibiting the possession of a firearm
- Subject to a domestic abuse injunction or domestic abuse tribal injunction (sec. 813.12) or a child abuse injunction (sec. 813.122) prohibiting the possession of a firearm. [Note: This statement applies to proceedings which were commenced on or after April 1, 1996.]

INSTRUCTIONS

SECTION 1 Transferee (Buyer's Section)

- 4) Complete blocks 1 through 15 by legibly printing the required information in ink.
- 5) Use M (Male) or F (Female). Height should be entered as feet and inches (e.g., 6'4"). Authorized abbreviations for the remaining categories are:

Ā	ACE		HAIR CO	<u>DLOR</u>			EYE COL	<u>.OR</u>	
W B	White Black American Indian or Alaskan Native	BRO BLK BLN GRY	Brown Black Blond Gray	RED SDY WI XXX	Red Sandy White Other	BLU BRO GRY GRN	Blue Brown Gray Green	HAZ PNK XXX	Hazel Pink Other

- Give the form to the dealer.
- 7) Furnish reliable identification that includes a photograph. A motor vehicle operator's license or state issued identification card are examples of reliable identification.

SECTION 2 Firearms Dealer (Seller's Section)

- Complete all required information in ink.
- 9) The Dealer Identification Number (DIN) block in upper right hand corner of the form is mandatory.
- 10) Check transferee's photo identification and complete block 16.
- 11) A stamp may be used for block 17.
- 12) Dealer Clerk's Signature and Date of block 18.
- 13) Call the Handgun Hotline (1-800-262-4867) and provide the hotline operator with the form number printed in red and your Dealer Identification Number (DIN), both located in the upper right hand corner of the form and the information concerning the buyer.
- 14) Complete blocks 19 through 23. (The 48 hour waiting period begins when the Call Confirmation Number is issued.)
- 15) When the felony check is completed, record the Transfer Approval Number in block 24 or Nonapproval Number in block 25.
- 16) If a Nonapproval Number is issued, provide the buyer with his or her copy of the form and mail the "CIB" copy to the address provided below within 24 hours.
- 17) If a Transfer Approval Number is issued, complete blocks 26 through 28 at the time of the firearm transfer, provide the buyer with his or her copy of the form and mail the "CIB" copy to the address below within 24 hours after transfer of the firearm.

Crime Information Bureau
Attn: Handgun Hotline
Post Office Box 2718
Madison, Wisconsin 53701-2718

Failure to request a firearms restrictions record search prior to a transfer of a handgun, failure to provide truthful and accurate information to CIB, failure to maintain the original records regarding the transfer, and failure to provide CIB with a copy of the form within 24 hours of a denial or a transfer are violations of s. 175.35 (2), (2), and (3) and may result in a fine of \$10,000 and 9 months in jail.

DEPARTMENT OF THE TREASURY BUREAU OF ALCOHOL, TOBACCO AND FIREARMS TO A DIAGON OF CORD DART L. OVER.

TRANSFEROR'S TRANSACTION SERIAL NUMBER

FIREARMS TRANSACTION RECORD PART I - OVER-THE-COUNTER

										
N	OTE: Prepare in original only. All entri								nstructions	
		MUST BE COMPLETED) PE	RSONALLY						
1.	TRANSFEREE'S (Buyer's) NAME (L	ast, First, Middle)		MALE	2. HE	IGHT	3.	WEIGHT	4. RACE	
				FEMALE					٠.	
5.	RESIDENCE ADDRESS (No., Street,	City, County, State, ZIP	Coc			RTH		7. PLACE	OF BIRTH (C	ity)
	•	•		IVI	HTMC	DAY	YEAR	STATE OR	FOREIGN CO	UNT
			1- 11	(O) in atri	-40		<u> </u>			
8.	OPTIONAL INFORMATION - The infethe sale and avoid the possibility of the t	peing misidentified as a	felo	n or other pi	rohibite	d pers	son.			
S	OCIAL SECURITY NUMBER	ALIEN REGISTRATIO	NN	JMBER			ISCELLA c.)	NEOUS NL	MBER (Milita	ry ID,
							•			
		A								
	CERTIFICATION OF TRANSFEREE (But question.		jh I. i	must be answ	ered wit	th a "ye	es" or a "no	o" in the box a	at the right of the	;
a.	Are you the actual buyer of the firearr form? If you answer "no" to this question transfer the firearm to you. (See Important of the firearm to you.	on the dealer cannot		g. Have y dishor	ou beer norable	n disc e conc	harged fro litions?	om the Arme	ed Forces unde	er
b.	b. Are you under indictment or information in any court for a crime for which the judge could imprison you for more than one year? An information is a formal accusation of a crime made by a prosecuting attorney. h. Are you an alien illegally in the United States?						ates?			
c.	Have you been convicted in any court the judge could have imprisoned you year, even if the judge actually gave y (See Important Notice 5 and EXCEPT)		i. Have you ever renounced your United States citizenship?							
d.	Are you a fugitive from justice?			harassi	ng, stal such p	king, (or threate	er restrainin ning an intir nportant No	nate partner or	r l
е.	Are you an unlawful user of, or addict any depressant, stimulant, or narcotic controlled substance?			crime of misdem use of p spouse,	f domes leanor o hysical parent	stic vic convic force t, or gu	plence? To tion invol- committe uardian of	This includes ving the use od by a curre the victim of	misdemeanor s any e or attempted ent or former or by a person (See Definition	
f.	Have you ever been adjudicated men you been committed to a mental instit			l. Are you	a citize	en of t	he United	States?		
٠.	What is your State of residence?	(State)	····	residence days prior	only if to the	you h	ave resident of this sale	ed in the Sta e. <i>(See Def</i>		90
TO TO UN MIS FUI	ERTIFY THAT THE ABOVE ANSWER: QUESTION 9b IS PROHIBITED FROM ANY OF THE QUESTIONS 9c THROU DERSTAND THAT THE MAKING OF A SREPRESENTED IDENTIFICATION WE RTHER UNDERSTAND THAT MY REP D PROFIT WITHOUT A FEDERAL FIR	M PURCHASING A FIRM IGH 9k IS PROHIBITED A FALSE ORAL OR WR ITH RESPECT TO THIS ETITIVE PURCHASE O	FAR FRO ITTE TRA OF FI	M. I UNDEF OM PURCH, EN STATEM ANSACTION IREARMS F	RSTANI ASING ENT OI I IS A C OR THI	D THA OR POR R THE CRIME E PUF	AT A PER OSSESSI EXHIBIT PUNISH RPOSE OI	SON WHO A NG A FIREA ING OF AN ABLE AS A FRESALE A	ANSWERS "YE ARM. I ALSO Y FALSE OR FELONY. I FOR LIVELIHO	ES"
-	ANSFEREE'S (Buyer's) SIGNATURE					10 M T T T T T T T T T T T T T T T T T T			DATE	
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ATF	F 4473 (5300.9) PART I (10-98) PREVIO	OUS EDITIONS ARE OBS	OLE	TE						

* *						
		E COMPLETED BY	TRANSFEROR (SE	LLER)		
10. TYPE OF FIREARM(S) TO BE TR	ANSFERRED: HANDG	aun Lo	NG GUN	ВОТН		•
11a. TYPE OF AND NUMBER ON IDI other valid government-issued pl Transferor 1.)	NTIFICATION (In the identification.	Driver's license or . See Instruction to	11b. TYPES AND TION REQU lease agreer	IRED FOR	F ADDITIONAL ALIENS (e.g., e Instruction to	uitility bills or
					-	
ITEM 12, 13, OR 14 MUST BE	COMPLETED PR	RIOR TO TRANSFE	R OF FIREARM(S)	(See Instru	ctions to Trans	feror 4-7.)
12a. THE TRANSFEREE'S IDENTIFY						
APPROPRIATE STATE AGENCY			•			
					•	
12b. THE NICS OR STATE TRANSAC	CTION NUMBER ((if provided) WAS: _		*		
12c. THE RESPONSE INITIALLY PRO			IATE STATE AGEN	CY WAS A	S FOLLOWS:	
PROCE	ED DEI	ÑIED	DELAYED			
12d. IF INITIAL NICS OR STATE RES APPROPRIATE STATE AGENCY	ON	ELAYED," THE FOLI 	OWING RESPONS	E WAS RE	CEIVED FROM	NICS OR TH
PROCE	. —	NIED	NO RESPONSE P	POVIDED	WITHIN 2 DI IC	NECC DAVO
13. STATE PERMIT TYPE (no NICS of		OF ISSUANCE	EXPIRATION DATE (1)			
required because transferee has a permit which qualifies as an exem-	a valid	01 1000/1102		2.99	on residiblin	-
14. NO NICS CHECK WAS REQU	JIRED BECAUSE	THE TRANSFER I	NVOLVED ONLY NE	A FIREAR	RM(S)	
SECTION C - IF THE TRANSFER OF FEREE SIGNED SECTION A, THEN THE FIREARM(S) (SEE INSTRUCTION)	HE TRANSFEREI N TO TRANSFER	E MUST COMPLETI REE 3 AND INSTRU	E SECTION C IMME CTION TO TRANSF	DIATELY F EROR 9)	PRIOR TO THE	TRANSFER O
I CERTIFY THAT THE ANSWERS I PROVI	DED TO THE QUES	STIONS IN ITEM 9 OF	SECTION A OF THIS	FORM ARE	STILL TRUE AN	D CORRECT.
TRANSFEREE'S (BUYER'S) SIGNATURE	•	:			DATE	
		SECTION D		·		
On the basis of (1) the statements in Stransfer (if the transfer does not occur? Published Ordinances, it is my belief t described below to the person identification.	on the same day hat it is not unlaw	as the verification r	noted in item 11); an	d (3) the in	formation in the ispose of the fire	e current list of earm(s)
15. MANUFACTURER AND/OR	16. MODEL	SE	17. RIAL NO.		18. (Pistol,Revolver, e,Shotgun,etc.)	19. CALIBER OF GAUGE
IMPORTER			<u> </u>	- Turk	5, 3110(gui 1, e(c.)	GAUGE
			<u> </u>			
					···	
		<u> </u>				
COMPLETE ATF F 3310.4	FOR MULTIPLE	PURCHASES OF	HANDGUNS (See	Instruction	n to Transfero	r 1 1)
20. TRADE/CORPORATE NAME AND (Seller) (Hand stamp may be used	ADDRESS OF T		21. FEDERAL FIRE used.)			
THE PERSON ACTUALL	Y TRANSFERRI	NG THE FIREARM	S) MUST COMPLE	TE ITEMS	22 THROUGH	24.
22. TRANSFEROR'S (Seller's) SIGN		. TRANSFEROR'S			24. TRANSAC	
•						

ATF F 4473 (5300.9) PART I (10-98)

IMPORTANTNOTICES

1. WARNING-The Federal firearms laws require that the individual filling out this form must be buying the firearm for himself or herself or as a gift. Any individual who is not buying the firearm for himself or herself or as a gift, but who completes this form, violates the law. Example: Mr. Smith asks Mr. Jones to purchase a firearm for Mr. Smith. Mr. Smith gives Mr. Jones the money for the firearm. If Mr. Jones fills out this form, he will violate the law. However, if Mr. Jones buys a firearm with his own money to give to Mr. Smith as a birthday present, Mr. Jones may lawfully complete this form. A licensee who knowingly delivers a firearm to an individual who is not buying the firearm for himself or herself or as a gift violates the law by maintaining a false ATF F 4473.

Question 9a is not applicable to returns of firearms, e.g., holders of pawn tickets or consignors of firearms. Accordingly, such transferees should answer Question 9a as "N/A."

- 2. Under 18U.S.C. 922 firearms may not be sold to or received by certain persons. The information and certification on this formare designed so that a person licensed under 18U.S.C. 923 may determine if he may lawfully sell or deliver a firearm to the person identified in Section A, and to alert the transferee (buyer) of certain restrictions on the receipt and possession of firearms. This form should not be used for sales or transfers where neither person is licensed under 18U.S.C. 923.
- 3. The permanent provisions of the Bradylaw, 18 U.S.C. 922(t), became effective on November 30, 1998. The law requires that prior to transferring any firearm to an unlicensed person, a licensed importer, manufacturer or dealer must first contact the National Instant Criminal Background Check System (NICS). NICS will advise the licensee whether the system contains any information that the prospective purchaser is prohibited by law from possessing or receiving a firearm. For purposes of this form, contacts to NICS include contacts to State agencies that have been designated to do NICS checks for the Federal Government.
- WARNING Any seller who knowingly transfers a firearm (s) to any person
 prohibited from receiving or possessing any firearm violates the law even though
 the seller has complied with the background check requirements of the Brady law.
- 5. The transferee (buyer) of a firearm should be familiar with the provisions of law. Generally, 18U.S.C. 922 prohibits the shipment, transportation, receipt, or possession in or affecting interstate commerce of a firearm by one who has been convicted of a crime punishable by imprisonment for a term exceeding one year; by one who is a fugitive from justice; by one who is an unlawful user of, or addicted to, marijuana, or any depressant, stimulant, or narcotic drug, or any other controlled substance; by one who has been adjudicated mentally defective or has been committed to a mental institution; by one who has been discharged from the Armed Forces under dishonorable conditions; by one who has renounced his or her U.S. citizenship; by one who is an alien illegally in the United States; by one who is subject to certain restraining orders; or by one who has been convicted of a misdemeanor crime of domestic violence. Furthermore, section 922 prohibits the shipment, transportation, or receipt in or affecting interstate commerce of a firearm by one who is under indictment or information for a crime punishable by imprisonment for a term exceeding one year.

EXCEPTION: For one who has been convicted of a crime for which the judge could have imprisoned the individual for more than one year, or has been convicted of a misdemean or crime of domestic violence, the prohibition does not apply if, under the law where the conviction occurred, the individual has been pardoned for the crime, or the conviction has been expunged or set aside, or the person has had civil rights restored, AND the person is not prohibited by the law of the jurisdiction where the conviction occurred from receiving or possessing any firearms. Persons subject to one of these exceptions should answer "NO" to questions 9c or 9k, as applicable.

6. Under 18U.S.C. 922, firearms may not be sold to or received by persons subject to a court order that: (A) was issued after a hearing of which the person received actual notice and had an opportunity to participate; (B) restrains such person from harassing, stalking or threatening an intimate partner or child of such intimate partner or person, or engaging in other conduct that would place an intimate partner in reasonable fear of bodily injury to the partner or child; and (C)(i) includes a finding that such person represents a credible threat to the physical safety of such intimate partner or child, or (ii) by its terms explicitly prohibits the use, attempted use, or threatened use of physical force against such intimate partner or child that would reasonably be expected to cause bodily injury.

- .7. DOYOUNEEDAFIREARMS LICENSE? Under 18U.S.C. 922 and 923, it is unlawful for a person to engage in the business of dealing in firearms without license: A person is engaged in the business of dealing in firearms if the or she devotes time, attention, and labor to dealing in firearms as a regular course of trade or business with the principal objective of livelihood and profit through the repetitive purchase and resale of firearms. A license is not required of a person who only makes occasional sales, exchanges, or purchases of firearms for the enhancement of a personal collection or for a hobby; or who sells all or part of his or her personal collection of firearms.
- Persons acquiring firearms for the purpose of exportation should be aware that the State Department or Commerce Department may require a license to be obtained prior to exportation.

INSTRUCTIONSTOTRANSFEREE (BUYER)

- The transferee (buyer) of a firearm must personally complete Section A of this
 form and certify (sign) that the answers are true and correct. However, if the
 buyer is unable to read and/or write, the answers may be written by other persons, excluding the dealer. Two persons (other than the dealer) must then sign
 as witnesses to the buyer's answers and signature.
- 2 When the transferee (buyer) of a firearm(s) is a corporation, company, association, partnership or other such business entity, an officer authorized to act on behalf of the business must complete and sign Section A of the formand attact a written statement, executed under penalties of perjury, stating (A) that the firearm(s) is being acquired for the use of and will be the property of that business entity, and (B) the name and address of that business entity.
- If the transfer of the firearm(s) takes place on a different day from the date that
 the purchaser signed Section A, then the licensee must again check the photo
 identification of the purchaser prior to the transfer, and the purchaser must complete the certification in Section C at the time of transfer.

INSTRUCTIONS TO TRANSFEROR (SELLER)

- KNOW YOUR CUSTOMER Before a licensee may sell or deliver a firearm to a
 nonlicensee, the licensee must establish the identity, place of residence, and age
 of the buyer. The buyer must provide a valid government-issued photo identification to the seller that contains the buyer's name, date of birth, and residence
 address. A driver's license or identification card issued by a State in place of a
 license is particularly appropriate. Social security cards are not acceptable
 because no address, date of birth, or photograph is shown on the cards.
- 2 SALE OF FIREARMS TO ALIENS A transferee (buyer) who is not a citizen of the United States must provide additional identification in order to establish that he or she is a resident of a State. (See Definition 6.) Such a transferee must provide a valid government-issued photo identification to the seller that contains the buyer's name, date of birth, and residence address. In addition, such a transferee must provide documentation such as utility bills or lease agreements that would establish that he or she has resided in a State for at least 90 days prior to the date of this sale.
- 3. If the buyer's name is illegible, the seller must print the buyer's name above the name printed by the buyer in Item 1.
- 4. NICS CHECK Prior to transferring a firearm to a nonlicensee, the licensee must contact the National Instant Criminal Background Check System (NICS) for a criminal background check on the transferee (buyer). After the purchaser has completed Section A of the form, and the licensee has completed Items 10 and 11, the licensee should contact NICS in accordance with the instructions received from ATF. At the time that NICS is contacted, the licensee should record in Item 12 the date of contact, the NICS (or State) transaction number, and any response provided by NICS. If the licensee receives a "delayed" response, the licensee must also record any subsequent response provided by NICS. NOTE: In some instances, States acting as points of contact for NICS checks may use terms other than "proceed," "delayed," or "denied." For example, a State may provide an "approve" response that is equivalent to a "proceed" response; a "pended" response that is equivalent to a "delayed" response; or a "non-approval" response that is equivalent to a "denied" response. In such cases, the licensee should check the box on the form that corresponds to the State's response. Licensees should also note that some States may not provide a transaction number for denials. However, in any case where a firearm is transferred within the three business day period, a transaction number is required.

- 5. NICS RESPONSES If NICS provides a "proceed" response, then the transaction may proceed. If the licensee receives a "denied" response, then the licensee is prohibited from transferring the firearm to the buyer. If NICS provides a "delayed" response, the licensee must delay the transaction until he is contacted again by NICS or 3 business days have elapsed. See 27 CFR 178.102(a) for an example of how to calculate 3 business days. If NICS does not provide a response after 3 business days have elapsed, the seller may transfer the firearm unless, prior to the transfer, NICS has advised the seller that the buyer's receipt or possession of the firearm would be in violation of law.
- 6. EXCEPTIONS TO NICS CHECK ANICS check is not required if the transfer is subject to any of the alternatives in 27 CFR 178.102(d). Generally, these include transfers: (a) where the transferee has presented to the licensee a permit or license that allows the transferee to possess, acquire, or carry a firearm, and the permit has been recognized by ATF as a valid alternative to the NICS check requirement; (b) of National Firearms Act weapons approved by ATF; or (c) certified by ATF as exempt because compliance with the NICS check requirements is impracticable. See section 178.102(d) for a detailed explanation of these alternatives.
- If the transfer is subject to one of the exceptions to the NICS check requirement outlined in paragraph 6 above, the transferor must obtain the supporting documentation required by 27 CFR 178.131. A firearm must not be transferred to any buyer who fails to provide such information.
- 8. If more than four firearms are involved, the identification required by Section D, items 15 through 19, must be provided for each firearm. The identification of the firearms transferred in a transaction which covers more than four weapons may be on a separate sheet of paper, which must be attached to the form covering the transaction.
- Immediately prior to transferring the firearm, the transferor (seller) must complete and execute Section D of the form. If the transfer takes place on a different day from the date that the purchaser signed Section A, then the licensee must again check the photo identification of the purchaser prior to the transfer, and the purchaser must complete the certification in Section C at the time of transfer.
- 10. Additional firearms purchases made by the same buyer may not be added to this form after the seller has signed and dated it. A purchaser who wishes to buy additional firearms after the seller has signed and dated the ATFF 4473, must complete a new ATFF 4473, and a new NICS check must be conducted on this separate transaction.
- In addition to completing this form, you must report any multiple sale or other disposition of pistols or revolvers on ATF F 3310.4 in accordance with 27 CFR 178.126a.
- 12. The transferor (seller) of a firearm is responsible for determining the lawfulness of the transaction and for keeping proper records of the transaction. Consequently, the transferor should be familiar with the provisions of 18U.S.C. 921-929 and the regulations, 27 CFR Part 178. In determining the lawfulness of the sale or delivery of a rifle or shotgun to a nonresident, the transferor is presumed to know applicable State laws and published ordinances in both States.
- 13. Afteryou have completed the firearm transaction, you must make the completed, original copy of the ATFF 4473, Part I, and any supporting documents part of your permanent firearms records. Forms 4473 must be retained for at least 20 years. Filing may be chronological (by date), alphabetical (by name), or numerical (by transaction serial number), so long as all of your completed Forms 4473, Part I, are filed in the same manner.
- 14. FORMS 4473 FOR DENIED TRANSFERS MUST BE, RETAINED If the transfer of a firearm is denied by NICS, or if for any other reason the transfer does not go through after a NICS check is conducted, the licensee must retain the ATF F 4473 in his or her records for at least 5 years. Forms 4473 with respect to which a sale, delivery or transfer did not take place shall be separately retained in alphabetical (by name of transferee) or chronological (by date of transferee's certification) order.

DEFINITIONS

 Over-the-counter Transaction--The sale or other disposition of a firearm by the transferor (seller) to a transferee (buyer), occurring on the transferor's licensed premises. This includes the sale or other disposition of a rifle or a shotgun to a non-resident transferee (buyer) occurring on such premises.

- Published Ordinances -- The publication (ATF P5300.5) containing State irearms

 laws and local ordinances which is annually distributed to Federal firearms
 licensees by the Bureau of Alcohol, Tobacco and Firearms.
- Under indictment/information or convicted in any court -- An indictment/information or conviction in any Federal, State or foreign court.
- Intimate Partner -- With respect to a person, the spouse of the person, a former spouse of the person, an individual who is a parent of a child of the person, and an individual who cohabits or has cohabited with the person.
- 5. Misdemeanor Crime of Domestic Violence -- A crime that is a misdemeanor under Federal or State law andhas, as an element, the use or attempted use of physical force, or the threatened use of a deadly weapon, committed by a current or former spouse, parent, or guardian of the victim, by a person with whom the victim shares a child in common, by a person who is cohabiting with or has cohabited with the victim as a spouse, parent, or guardian, or by a person similarly situated to a spouse, parent, or guardian of the victim. The termincludes all misdemeanors and lesser offenses that involve the use or attempted use of physical force (e.g., simple assault, assault and battery), if the offense is committed by one of the defined parties. The person is NOT considered to have been convicted of such crime unless the person was represented by alawyer or gave up the right to a lawyer, and, if the person was entitled to a jury trial, was tried by a jury or gave up the right to a jury trial.
- 6. State of Residence The State in which an individual resides. An individual resides in a State if he or she is present in a State with the intention of making a home in that State. If an individual is on active duty as a member of the Armed Forces, the individual's State of residence is the State in which his or her permanent duty station is located. An alien who is legally in the United States shall be considered to be a resident of a State only if the alien is residing in the State and has resided in the State for a period of at least 90 days prior to the date of sale or delivery of a firearm. See 27 CFR 178.11 for examples of this definition.

PRIVACY ACTINFORMATION

- AUTHORITY. Solicitation of this information is authorized under 18U.S.C. 923(g).
- PURPOSE. To determine eligibility of the transferee (buyer) to receive firearms under Federal law.
- DISCLOSURE OF SOCIAL SECURITY NUMBER. Disclosure of the individual's social security number is voluntary. The number may be used to verify the individual's identity.

PAPERWORKREDUCTIONACTNOTICE

The information required on this form is in accordance with the Paperwork Reduction Act of 1995. The purpose of the information is to determine the eligibility of the transferee (buyer) to receive firearms under Federal law. The information is subject to inspection by ATF officers. The information on this form is required by 18 U.S.C. 972.

The estimated average burden associated with this collection is 19 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

traw buyer crackdown nets just one conviction

Prosecutor says gun cases are difficult to prove; 4 of 10 have been dismissed

By JESSICA McBRIDE of the Journal Sentinel staff

An unprecedented police roundup last spring of allege straw buyers and the felons whe allegedly received the guns wo a splash of attention, but eight months later four of 10 cases have been dismissed and just one defendant served jail time for the offense.

The debate over gun contro often revolves around law er forcement's apparent failure tenforce some of the gun laws a ready on the books, but the 1 cases that evolved from the Ma raids underscore the difficultie inherent in such prosecutions.

Police used the roundup to demonstrate their new focus of straw buyers after federal data showed that a local gun store Badger Guns & Ammo, solemore guns recovered in criminal investigations than any other dealer nationwide in 1998. Strawbuyers buy guns for those who can't, such as felons.

But one of the cases watossed out partly because prosecutors didn't believe they coul prove the alleged straw buye knew the recipient of the guwas a felon. Another was tossed the prosecutor said, because police illegally seized evidence against a man.

A third case was dismisse because the key witness didn show up in court, and the fourt case was so weak it didn't eve

Please see GUN page 10

Gun/Only one convicted in straw buyer crackdown

From page 1

make it past the preliminary

hearing stage.

A fifth case is on hold because the defendant, Sharon D. Lewis, is wanted on a warrant for not

appearing in court.

These are hard cases to prove, absent a confession," said Chief Deputy District Attorney Robert Donohoo. He said his office has taken an aggressive stance on such cases, and when that's done "you take a chance that something could go wrong, such as a witness not showing up." That's better than not taking the cases forward, he said.

Donohoo said "Operation Ceasefire," a major cooperative law enforcement effort launched this month, will mean more and better cases because more resources are available for investigations and prosecutions. The program will funnel some weapons cases to federal court as well as create a state gun court and a task force to investigate weapons offenses.

Changing the crime of lying on state handgun purchase forms from a misdemeanor to a felony would also aid prosecution of straw buyers. If a prosecutor wants a felony conviction now, the straw buyer must be charged with being party to the crime of a felon in possession of a firearm, a more difficult offense to prove, Donohoo said.

There's a bill aimed at making just that change working its way through the Legislature in Mad-

It won the unanimous endorsement of the Assembly Judiciary and Personal Privacy Committee on Thursday.

Under the bill, buyers who lie about their role as a straw purchaser on the state's handgun purchase form would face five

years in prison.

"Individuals who purchase handguns for felons should be treated like the criminals they are," said Rep. Scott Gunderson (R-Town of Norway), a co-sponsor of the bill. "This simple change will give law enforcement officials an additional tool to crack down on illegal handzun sales."

That's not welcome news for

one they've charged with being a liar," said Craig Mastantuono, a Milwaukee attorney who succeeded in getting the case of Tommy Smith tossed out of

Smith was charged with being a felon in possession of a firearm. But Lewis, his alleged straw buyer, didn't show up to testify against him, so the charge was dismissed. Mastantuono believes she would have made a poor witness anyway.

"The whole thing about being a straw buyer is that you're posing for something you're not re-

ally," he said.

Lewis' statement to police that she bought a 9mm pistol at Badger for Smith — lying on the purchase form that the gun was for herself — was the sole evidence against him, Mastantuono

Smith wound up getting one year and nine months in prison anyway for the possession accusation during a parole revocation hearing, where rules of evidence are much more lenient.

Another of the dismissed cases — charging Malcolm Norfleet with being a felon in possession of a firearm — didn't even make it past the preliminary hearing stage, which is un-

Court Commissioner Audrey Brooks, before dismissing the case, called it "the most unusual felon in possession of a firearm charge I've ever heard." That's largely because police found no gun with the felon.

Norfleet was discovered sleeping in a car after police were dispatched to a shooting. Police found a gunshot hole and a severe powder burn on the seat of the car and gunpowder residue on the rear of Norfleet's pants. Norfleet told police he "doesn't know anything about this and wasn't there" and did not have a gun.

In four other cases, jury trials are scheduled, with the defendants' attorneys planning vigorous defenses.

Defense attorney Scott Anderson represents Robvester Carter, who is alleged to be a felon in possession of a firearm. A criminal complaint says Carter's girlfriend, Samantha Flowers, told police she bought a gun at sav the "nador to "share" with Carter,

Flowers' case was dismissed tion of such cases. on a motion from the state. Donohoo said the state didn't believe it could prove she knew Carter was a felon, and police reports were contradictory.

"There wasn't any case, and she's always denied it and so does Carter," Anderson said. "He was there, but she bought it and it was her gun and that was the end of it."

Attorney Philip Atinsky said his client, Rashawn Spivey, also denies being a straw buyer. Spivey, Ronald Hudson and Rodnev Manns were charged with being part of a scheme to get guns from Badger for Manns, a

Manns had been admitted to a hospital with gunshot wounds. When police began investigating the shooting and went to Manns' residence, they discoyered a .357 handgun and a sales order from Badger. They also found a state Department of Justice slip notifying Manns that he couldn't buy the guns because he failed a background check. The department has acknowledged rarely seeking prosecu-

The complaint says M asked Spivey to get him a Spivey allegedly contacted I son. Hudson, with Spivey in car, allegedly went to Ba and purchased five hands Police stopped the car.

Donohoo said the case ag Manns was dismissed bec the papers were illegally sei:

Demorra Rhodes, the lone fendant who has been tenced in state court, events received 201 days in the H of Correction for a felon-insession conviction. He face to two years in prison. Bu was initially sentenced to t years of probation.

It was only after Rh thumbed his nose repeated the system — allegedly ber his girlfriend, driving after r cation, failing a drug scree that he was brought back court by probation official August and given jail time. nohoo said the office now ommends prison for such ca

Journal Sentinel staff writer Dei Chaptman contributed from Mac





BRIAN BURKE

WISCONSIN STATE SENATOR

Senate Chair, Joint Committee on Finance

Testimony of Senator Brian Burke Senate Bill 425 Senate Committee on Judiciary and Consumer Affairs March 7, 2000

Authorities prosecuted fewer than 10 of the more than 750 people whose illegal attempts to buy firearms in the past year were denied as the result of state and federal background checks.

On the state level, about 32,842 background checks were conducted in 1999. Of those, 492 or 1.5% resulted in denials because the people were convicted felons or otherwise barred from owning a firearm.

The Department of Justice performs state background checks while prosecution of illegal gun purchasers is a local responsibility. With increasing caseloads and limited resources, district attorney offices face obstacles to pursuing criminal accountability. They are forced to pick the most egregious cases.

Keeping guns out of the hands of criminals is a top public safety priority. We should use every resource at our disposal to hold illegal gun buyers accountable. To lend a helping hand to prosecutors throughout the state, Representative Huber and I introduced Senate Bill 425 authorizing the Department of Justice, concurrently with DA offices, to prosecute violators of laws governing handgun transactions.

Under the bill, the Attorney General and local prosecutors would work as a team to crack down on felons trying to buy or actually purchasing a handgun, if state agents discover the crime while running a criminal background check. Straw purchasers who buy guns for felons and others prohibited from possessing such weapons could also be targeted.

State reinforcement of local efforts to prevent gun crimes will make our streets and neighborhoods safer. I urge the committee to act favorably on SB 425.